



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/759,428	01/12/2001	Mitchell R. Frank	10004553-1	9973

7590 05/03/2005

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, CO 80627-2400

EXAMINER

LAFORGIA, CHRISTIAN A

ART UNIT PAPER NUMBER

2131

DATE MAILED: 05/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/759,428

Applicant(s)

FRANK ET AL.

Examiner

Christian La Forgia

Art Unit

2131

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 26 November 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-23 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-23 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

**DETAILED ACTION**

1. The amendment filed on 26 November 2004 has been noted and made of record.
2. Claims 1-23 have been presented for examination.

***Response to Arguments***

3. Applicant's arguments with respect to claims 1-23 have been considered but are moot in view of the new ground(s) of rejection.

See further rejections that follow.

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1-15 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,339,826 to Hayes, Jr. et al., in view of U.S. Patent No. 6,834,350 to Boroughs et al., hereinafter Boroughs.

6. As per claims 1, 8, 9, and 23, Hayes teaches a computer system, comprising:

memory (Fig 2, element 212); and

a security application configured to display a list of security rules for locking down resources of said computer system (col. 19, lines 50-55), said security application configured to enable a set of said security rules, based on inputs from a user (Fig 17), and to cause said computer system to enforce said enabled set of security rules by modifying a machine state of

Art Unit: 2131

said computer system (col. 20, lines 1-5), said information based on data stored in said memory (col. 17, lines 60-64).

7. Hayes does not disclose said security application further configured to enable said user to select one of said Security rules and to display information describing said selected rule in response to a selection of said one rule by said user.

8. Boroughs teaches displaying information regarding security rules and how they react to various threats posed to the system (column 9, lines 54-63).

9. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the security application to be configured to enable said user to select one of said security rules and to display information describing said selected rule in response to a selection of said one rule by said user, since Boroughs states at column 2, lines 47-58 that such a modification would provide information as to what rules applied to which application and let a user promptly review and act on the rule.

10. Regarding claims 2 and 10, Hayes teaches said security application is configured to display said information immediately in response to said selection (col. 17, lines 65-66).

11. Regarding claims 3 and 11, Hayes teaches said security application is configured to display said list within a window (Fig 17), said window including a plurality of selectable icons (icon besides "Members, Subgroups and Applet Permission", in Fig 17), said security application further configured to display different sets of information describing said selected rule in response to selections of different ones of said icons (Fig 17, right side of menu).

12. Regarding claims 4 and 12, Hayes teaches said security application is configured to display a main window (Fig 17), said security application further configured to display rules of said list in a first sub-window (window of Members) of said main window and to display said information describing said selected rule in a second sub-window of said main window (window of Applet Permission).

13. With regards to claims 5 and 13, Hayes teaches said security application is configured to categorize said list of rules (col. 19, lines 55-67), said security application further configured to display categories of said rules in a third sub-window of said main window (Applet Permission of Fig 17).

14. Concerning claims 6 and 14, Hayes teaches said security application is configured to enable said user to select one of said categories and is configured to display, in said first sub-window, rules of said list that are associated with one of said categories presently selected by said user (col. 19, line 50 col. 20, line 17).

15. Concerning claim 7 and 15, Hayes teaches said main window includes a plurality of selectable icons (icon besides "Members, Subgroups and Applet Permission", in Fig 17), said security application further configured to display in said second sub-window different sets of information describing said selected rule in response to selections of different ones of said icons (window of Applet Permission).

16. Claims 16-22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hayes in view of Boroughs as applied above, and further in view of U.S. Patent No. 5,720,033 to Deo, hereinafter Deo.

17. Regarding claims 16 and 17, Hayes and Boroughs do not teach wherein said selecting is performed while said list of security rules, including said one security rule, is being displayed via said displaying a list of security rules.

18. Deo discloses wherein said selecting is performed while said list of security rules, including said one security rule, is being displayed via said displaying a list of security rules (Figure 1 [block 14]; column 8, lines 3-19).

19. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the selecting to be performed while said list of security rules, including said one security rule, is being displayed via said displaying a list of security rules, since Deo states at column 8, lines 3-19 that such a modification would allow a user to add, edit and change rules as they applied to various applications.

20. With regards to claims 18, 21, and 22, Boroughs teaches said displaying said information describing said selected rule in a second sub-window are performed simultaneously (column 9, lines 54-63).

21. Hayes and Boroughs do not teach wherein said displaying rules of said list in a first sub-window.

Art Unit: 2131

22. Deo teaches wherein said displaying rules of said list in a first sub-window (Figure 1 [block 14]; column 8, lines 3-19).

23. It would have been obvious to one of ordinary skill in the art at the time the invention was made to display the list of rules in a separate window, since Deo states at column 8, lines 3-19 that such a modification would allow a user to add, edit and change rules as they applied to various applications.

24. Regarding claims 19 and 20, Hayes and Boroughs do not teach wherein said selection of said one rule occurs while said one rule is being displayed to said user.

25. Deo discloses wherein said selection of said one rule occurs while said one rule is being displayed to said user (column 7, lines 54-60).

26. It would have been obvious to one of ordinary skill in the art at the time the invention was made for the selection of said one rule to occur while said one rule was being displayed to said user, since Deo states at column 8, lines 3-19 that such a modification would allow a user to apply the appropriate rule to the appropriate application, i.e. financial or personnel records.

### *Conclusion*

27. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Christian La Forgia whose telephone number is (571) 272-3792. The examiner can normally be reached on Monday thru Thursday 7-5.

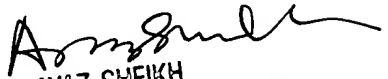
28. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Art Unit: 2131

29. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Christian LaForgia  
Patent Examiner  
Art Unit 2131

clf

  
AYAZ SHEIKH  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100